

## GOVERNANCE AND AUDIT COMMITTEE

Decision Notice – Meeting, 20<sup>th</sup> July, 2021

The Committee agenda is available [here](#).

The recording of the meeting is available [here](#).

Present: Councillor G.D.D. Carroll (Chairman); Councillor L.O. Rowlands (Vice-Chairman); Councillors Mrs. P. Drake, Dr. I.J. Johnson, K.F. McCaffer, Mrs. J.M. Norman and M.R. Wilson.

Also present: Ms. R. Freitag and I. Phillips (Audit Wales).

### AGENDA ITEM 1. APOLOGY FOR ABSENCE –

This was received from Mr. P. Lewis (Lay Member).

### AGENDA ITEM 2. MINUTES –

RESOLVED – T H A T the minutes of the meeting held on 24<sup>th</sup> May, 2021 be approved as a correct record.

### AGENDA ITEM 3. DECLARATIONS OF INTEREST –

No declarations were received.

### AGENDA ITEM 4. ANNUAL CORPORATE SAFEGUARDING REPORT: 2020/21 (REF) –

RESOLVED – T H A T the work that had been undertaken to improve corporate arrangements for safeguarding and protecting children and adults be noted.

#### Reason for decision

Having regard to the contents of the report and reference from Cabinet.

### AGENDA ITEM 5. CORONAVIRUS UPDATE (REF) –

RESOLVED – T H A T the report be considered in conjunction with Agenda Item 6 – Corporate Risk Register Quarter 4 Update.

Reason for decision

To consider the Coronavirus Update in conjunction with the Corporate Risk Register Quarter 4 Update.

AGENDA ITEM 6. CORPORATE RISK REGISTER QUARTER 4 UPDATE (MD) –

RESOLVED –

- (1) T H A T the content of the Coronavirus Update report be noted.
- (2) T H A T the Quarter 4 position of corporate risks for the period April 2020-March 2021 as outlined in Annex A be noted.
- (3) T H A T the comments of the Governance and Audit Committee be referred to Cabinet for their consideration and endorsement at the meeting when Cabinet will consider a report on the Corporate Risk Register.

Reasons for decisions

- (1) Having regard to the contents of the Coronavirus Update report and the related content contained within the Quarter 4 Risk Register Update.
- (2) Having regard to the Quarter 4 Risk Register position and actions.
- (3) To ensure Cabinet receives the comments of the Governance and Audit Committee when considering the quarter 4 position.

AGENDA ITEM 7. DRAFT ANNUAL GOVERNANCE STATEMENT 2020/21 (MD) –

RESOLVED – T H A T the Annual Governance Statement for 2020/2021 be recommended for adoption by the Leader and Managing Director.

Reason for decision

Following consideration of the Draft Annual Governance Statement 2020/21.

AGENDA ITEM 8. CORPORATE COMPLAINTS ANNUAL REPORT 2020/21 (MD) –

RESOLVED –

- (1) T H A T the contents of the report and Appendix A (Annual Complaints and Compliments Report) be noted.

(2) T H A T the Governance and Audit Committee continues to receive an annual update in relation to Corporate Complaints and Compliments.

(3) T H A T the report and the comments of the Committee be referred to Cabinet for their consideration.

#### Reasons for decisions

(1&2) To ensure effective monitoring of corporate complaints as an indicator of citizen satisfaction with services provided.

(3) In order that Cabinet can be apprised of the report and the comments made by the Governance and Audit Committee and reply to the Public Services Ombudsman for Wales' Annual Letter.

#### AGENDA ITEM 9.                      UNAUDITED STATEMENT OF ACCOUNTS 2020/21 (S151O) –

#### RESOLVED –

(1) T H A T the comments of the Committee regarding the unaudited Vale of Glamorgan Council Statement of Accounts for 2020/21 be referred to the Head of Finance as Section 151 Officer for subsequent discussion with the Council's external auditors, Audit Wales.

(2) T H A T the comments of the Committee regarding the unaudited Joint Committee Shared Regulatory Services Statement of Accounts for 2020/21 and the Shared Regulatory Services Annual Governance Statement be referred to the Head of Finance as Treasurer of the Joint Committee for subsequent discussion with the external auditors, Audit Wales.

(3) T H A T the comments of the Committee regarding the Annual Return for the Vale, Valleys and Cardiff Regional Adoption Service 2020/21 be referred to the Head of Finance as Treasurer of the Joint Committee for subsequent discussion with the external auditors, Audit Wales.

#### Reasons for decisions

(1) To allow for the initial review of the unaudited Vale of Glamorgan Council Statement of Accounts by those charged with governance.

(2) To allow for the initial review of the unaudited Shared Regulatory Services Statement of Accounts and Annual Governance Statement by those charged with governance.

(3) To allow for the initial review of the unaudited Valleys, Vale and Cardiff Regional Adoption Service Annual Return by those charged with governance.

AGENDA ITEM 10. WHISTLE BLOWING ANNUAL REPORT (MO / HLDS) –

RESOLVED –

- (1) T H AT the contents of the report be noted.
- (2) T H A T the Governance and Audit Committee continues to receive annual reports in relation to the policy implementation and incidents.

Reason for decisions

(1&2) To ensure the effective monitoring of whistleblowing incidents is undertaken.

AGENDA ITEM 11. ANNUAL INTERNAL AUDIT REPORT 2020-21 (HRIAS) –

RESOLVED – T H AT the Annual Internal Audit Report for the Financial Year 2020-21, including the Head of Internal Audit's Annual Opinion on the Council's control environment in relation to governance, risk management and internal control, be noted.

Reason for decision

Having regard to the Annual Internal Audit Report 2020-21.

AGENDA ITEM 12. DRAFT ANNUAL INTERNAL AUDIT STRATEGY AND RISK BASED PLAN 2021-22 (HRIAS) –

RESOLVED – T H AT the draft Internal Audit Strategy (Appendix A to the report) and draft Annual Risk Based Audit Plan for 2021-22 (Appendix B to the report), be approved.

Reason for decision

To keep the Governance and Audit Committee informed and to approve the proposed draft Internal Audit Strategy and Annual Risk-Based Audit Plan for 2021/22 in compliance with the Public Sector Internal Audit Standards (PSIAS) and the Committee's Terms of Reference.

AGENDA ITEM 13. ANNUAL CORPORATE FRAUD REPORT 2020-21 (HRIAS) –

RESOLVED – T H AT the measures in place and the work being undertaken to prevent and detect fraud and error be noted.

Reason for decision

Having regard to the Annual Corporate Fraud Report 2020-21.

AGENDA ITEM 14.           UPDATED FORWARD WORK PROGRAMME (HRIAS) –

RESOLVED –

- (1)    T H A T the updated Forward Work Programme be noted.
- (2)    T H A T the schedule of items for the next meeting, 23<sup>rd</sup> September, 2021, be endorsed.

Reason for decisions

(1&2) To ensure the Governance and Audit Committee is aware and informed of progress on the updated Work Programme.